HCBS CLIENT FILE AND AIMS DATA CHECKSHEET FOR SECTION 306 – HOMEMAKER SERVICES CLIENTS - Manual Section Dated June 2002 (Revised 4/2004)

Client Name: ____
(Last) (First) (Middle)

Provider: ____
(Last) (First) (Middle)

Client I.D. #: ____________________ **Reviewer's Name:**____________________________________

File #________of _______ (number) of files to be reviewed.

Item #	Data Elements	Yes	No	Other	Both	N/A	Comments
Part I: Compares information contained in client files to client information entered into AIMS.							
1.	Client Name						
2.	SSN						
3.	Address						
4.	City						
5.	State						
6.	Zip						
7.	County						
8.	Phone #						
9.	Gender						
10.	Birth Date						
11.	Martial Status						
12.	Race						
13.	Living Arrangements						
14.	# In Household						
15.	Client Income						
16.	Current Assessment						
17.							
18.							
19							
20.							
21.							
Total:							

Item #	Data Elements	Yes	No	Other	Both	N/A	Comments
Part II: Is a check of the service provider's performance of client file maintenance (i.e., current required information and/or forms).							
1.	**AAA Referral**						
2.	**Client Notification / Service Status**						
3.	**Identifying Information**						
4.	**Current Income Work Sheet**						
5.	**Emergency Contact Information**						
6.	**Client Rights / Responsibilities**						
7.	**Service Plan**						
8.	**Service Initiation**						
9.	**Supervisory/monitoring visits**						
10.	**Assessment/Reassessment**						
11.	**Written Termination Notice**						
12.	**Complaint/Incident Reports**						
13.							
14.							
15.							
16.							
17.							
18.							
19.							
20.							
Total:							

Instructions for HCBS Client File and AIMS Data Check sheets For Homemaker Services – Manual Section 306 – Dated June 2002 (Revised 11/2002)

Part I - Comparing the information contained in the client files to information entered into AIMS (data elements) will assist monitor to determine accuracy of data entry of client information into AIMS.

Instructions for Part I:

1. Determine the number of clients in AIMS for the service provider.
2. We suggest that monitors randomly select 6 files or 10% of total active client files whichever is greater, to be reviewed.
   If the monitor finds multiple errors or inconsistencies, increase the sample size.
3. Request files from service provider.
4. Compare information contained in the client files to information entered into AIMS noting findings on copies of the attached check sheet using codes below. Check sheet may be altered to include additional data elements in the review.
5. Adjust the number of lines in the Excel spreadsheet to accommodate the number of client files reviewed.
6. Total the number of marks in the "yes", "no", "other", and "both" columns on the check sheet.
7. Enter the number of data elements reviewed into the Excel spreadsheet. (Same number of data elements for each client.)
8. Enter column totals for each client into the Excel spreadsheet from check sheet.
9. Enter overall compliance/non-compliance rates/percentages in appropriate spaces in the review guide.

Codes for comparing information contained in client files to information in AIMS (data elements):

Yes - AIMS Information and the source document information matched.
No - AIMS Information and the source document information did not match or the information was contained in the source document and not entered into AIMS.
Other - No information contained in source document.
Both - Information was blank in both the source document and in AIMS.

Part II – Is a check of service provider performance of client file maintenance and client information.

Instructions for Part II:

1. Determine the number of clients in AIMS for the service provider.
2. We suggest monitors randomly select 6 files or 10% of total active client files, whichever is greater, to be reviewed.
   If the monitor finds multiple errors or inconsistencies, increase the sample size.
3. Request files from service provider.
4. Review client files for current, required information and/or forms. Note findings on copies of the attached check sheet using codes below. Check-sheet may be altered to include additional items of information in the review.
5. Adjust the number of lines in the Excel spreadsheet to accommodate the number of client files reviewed.
6. Total the number of marks in the "yes", "no", and "N/A" columns on the check-sheet.
7. Enter the number of data elements reviewed into the Excel spreadsheet. (Same number review items for each client.)
8. Enter column totals for each client into the Excel spreadsheet from check-sheet.
9. Enter overall compliance/non-compliance rates/percentages in the appropriate spaces in the review guide. (N/A column total is excluded from the calculation of the "yes" and "no" percentages.)
10. Calculate additional requested information separately and enter into review guide as appropriate.

Codes for reviewing information client files for service provider performance:

Yes - Information is in compliance.
No - Information is **NOT** in compliance.
N/A - Information requested is not applicable to this particular client.

Note: The "comments" section on the check-sheet has been included for notable observations only.